



CHAPTER 151, Texas Finance Code
“Money Services Act”

2011 – 2012 LICENSE RENEWAL APPLICATION

PART ONE

Renewing License Type: _____ **Currency Exchange** _____ **Money Transmission**
(check only one)

1. License number: _____

2. License name: _____

3. Licensee’s Federal Employer Identification Number: _____

4. Name and address of principal contact person:

Name: _____

Street address: _____

City and state: _____

Telephone number: _____

Fax number: _____

E-Mail: _____

5. Licensee’s principal business office:

Street address: _____

City and state: _____

Telephone number: _____

Fax number: _____

6. Address at which licensee keeps its books and records (if different from answer to Question 4).

Street address: _____

City and state: _____

Telephone number: _____

Fax number: _____

7. Licensee is a(n): (Check appropriate classification)

☐ Individual

☐ Partnership

☐ Association

☐ Joint Stock Association

☐ Corporation

8. If renewing a money transmission license, type of money transmission activity conducted (mark all that apply):

☐ Checks

☐ Stored Value

☐ Bill Presentment/Payment

☐ Drafts

☐ Travelers Checks

☐ Gift Certificates

☐ Money Orders

☐ Wire Transfers

☐ Other
(explain) _____

9. If renewing a money transmission license, money transmission sales are conducted through (mark all that apply):

☐ Company Owned Outlets

☐ Independent Authorized Delegates

☐ Subsidiaries or Affiliates

☐ On-line/Internet

☐ Other (explain): _____

10. Indicate the number of locations in Texas: _____

PART TWO

INSTRUCTIONS: Please check either "yes" or "no" in response to the following questions regarding changes since the last application or renewal. **IF THERE HAVE BEEN ANY CHANGES, PLEASE PROVIDE THE REQUESTED INFORMATION (Note that a response to the following does not constitute compliance with any separate statutory notice or reporting requirement):**

1. Since the previous license renewal, have there been any changes in ownership which has resulted in a 25% or more ownership interest in the licensee by one person or persons or legal entity?

☐ Yes ☐ No

If yes, please explain changes on a separate sheet, and include the name, address and percentage ownership of each person or legal entity who has acquired an ownership interest resulting in 25% or more ownership.

2. Provide a listing of any individuals who since the prior license renewal have been elected a Director or Principal Officer (i.e., President, Vice President, Chief Compliance Officer, etc.) of the license holder. (Note: If no supplemental forms have previously been submitted, please attach the required forms).
3. Has the licensee had its license suspended, revoked or renewal refused in any other state since the last application or renewal?

☐ Yes ☐ No

If yes, please explain on a separate sheet.

4. Has the licensee been subject to any enforcement actions by its licensing authority in any other state since the last application or renewal?

☐ Yes ☐ No

If yes, please explain on a separate sheet.

5. Has there been any material litigation involving the licensee initiated since the last application or renewal? Material litigation means litigation that, according to generally accepted accounting principles is deemed significant to any licensee's financial health and would be required to be referenced in its annual audited financial statements, report to shareholders or similar documents.

☐ Yes ☐ No

If yes, describe the proceedings on a separate sheet.

6. Has there been any felony indictment or criminal conviction of any principal officer or partner of the licensee, or any individual with a 25% or more ownership interest in the licensee, since the last application or renewal?

☐ Yes ☐ No

If yes, please explain on a separate sheet.

7. Have there been any substantive changes to the form of instruments issued by the licensee since the last application or renewal, if not previously provided?

☐ Yes ☐ No

If yes, please provide a specimen if not previously provided.

8. Have there been any changes in the licensee's principal clearing banks, clearing bank address or account number since the last application or renewal?

☐ Yes ☐ No

If yes, please list the name, address, contact name, and account number on a separate sheet.

9. Have there been any material changes to the licensee's authorized delegate contract since the last application or renewal?

☐ Yes ☐ No

If yes, please provide a copy.

10. Has there been any change to the licensee's internal auditor(s) since the last application or renewal?

☐ Yes ☐ No

If yes, please provide the new contact name and phone number on a separate sheet.

11. Has the licensee, or any principal officer, director, partner, or individual with a 25% or more ownership interest in the licensee, filed a petition in bankruptcy or reorganization since the last application or renewal?

☐ Yes ☐ No

If yes, please describe the proceedings on a separate sheet, and provide a copy of the petition and a copy of the discharge, if applicable.

I certify that the foregoing responses are true, accurate and complete to the best of my knowledge and belief.

Dated: _____

NAME OF LICENSEE
(Corporation, Company, Partnership)

By: _____
(Officer/Authorized Employee) (Title)
(please print)

(Signature of Officer/Authorized Employee)

EXHIBIT A

(Complete if renewing a Currency Exchange License or Money Transmission License)

I hereby certify that the license holder, _____, meets the following
(name of license holder)
requirements of Section 151.202 of the Texas Finance Code, as follows:

The applicant, a principal of the applicant, or a person in control of the applicant does not owe the department a delinquent fee, assessment, administrative penalty, or other amount imposed under this chapter or a rule adopted or order issued under this chapter;

The applicant, if a partnership, and any partner that would generally be liable for the obligations of the partnership, does not owe a delinquent federal tax:

The applicant, if a corporation:

- (A) Is in good standing and statutory compliance in the state or country of incorporation
- (B) Is authorized to engage in business in this state
- (C) Does not owe any delinquent franchise or other taxes to this state

The applicant, if not a corporation, is properly registered under the laws of this state or another state or country and, if required, is authorized to engage in business in this state; and

The applicant, a principal of the applicant, or a principal of a person in control of the applicant is not listed on the specifically designated nationals and blocked persons list prepared by the United States Department of the Treasury, or designated successor agency, as a potential threat to commit or fund terrorist acts.

Date

Name of Authorized Individual

Signature of Authorized Individual

EXHIBIT B

(Complete only if renewing a Currency Exchange License)

1. Submit a copy of the March 31, 2011 Quarterly Report, including all attachments.
2. Submit a financial statement (balance sheet and income statement) dated as of the last day of the license holder's fiscal year that ended in the immediately preceding calendar year. For most license holders, this will be the December 31, 2010 financial statement. If needed, please use the enclosed blank forms.
3. Provide a listing (on a separate page) of each location where currency exchange services are provided which includes the address of the location, the phone number of the location, and the name and title of the person who is in charge of the location.
4. Provide the following information relating to your volume of currency exchange business conducted from the period of January 1, 2010 to December 31, 2010 for all your locations:
 - a. Number of currency exchange transactions involving sales of U.S. Dollars:

 - b. Total dollar amount of currency exchange transactions involving sales of U.S. Dollars:
\$ _____

EXHIBIT C

(Complete only if renewing a Money Transmission License)

1. Submit a copy of the March 31, 2011 Permissible Investment Report, including all attachments.
2. Submit a copy of the **audited** unconsolidated financial statement dated as of the last day of the license holder's fiscal year that ended in the immediately preceding calendar year.
3. Provide an electronic file on CD in Microsoft Excel which includes the following fields for each of your Texas locations (company-owned branches and authorized delegates) for the period of **January 1, 2010 to December 31, 2010:****
 - a. Branch or Authorized Delegate Number
 - b. Name (Code) of Branch or Authorized Delegate
 - c. Branch or Authorized Delegate Street Address
 - d. Branch or Authorized Delegate City
 - e. Branch or Authorized Delegate State
 - f. Branch or Authorized Delegate Zip Code
 - g. Branch or Authorized Delegate Telephone Number
 - h. Type of MSB Service(s) Offered by the Branch or Authorized Delegate (include currency exchange, if applicable)
 - i. Branch or Authorized Delegate Aggregate Sales for the 2010 Calendar Year for all money transmission services offered under your license (include currency exchange, if applicable)
 - j. Date Branch or Authorized Delegate was Activated
 - k. Date Branch or Authorized Delegate was Terminated (if during 2010)

****Report Texas On-Line (Internet) money transmission and On-Line (Internet) currency exchange activity as a line item titled On-Line Transactions.**

4. Provide the following information relating to your Texas volume of money transmission business (transmission of funds, money orders, travelers checks, bill payment, stored value, etc.) and currency exchange business, for the period of **January 1, 2010 to December 31, 2010** for all your locations, including your Texas On-Line (Internet) activity.
 - a. Number of money transmission transactions conducted in Texas: _____
 - b. Total dollar amount of money transmission transactions conducted in Texas:
\$ _____
 - c. Number of currency exchange transactions conducted in Texas (if applicable): _____
 - d. Total dollar amount of currency exchange transactions conducted in Texas (if applicable):
\$ _____
 - e. Grand total of number of money transmission and currency exchange transactions conducted in Texas (a & c): _____
 - f. Grand total of dollar amount of money transmission and currency exchange transactions conducted in Texas (b & d): \$ _____